

**US District Court Electronic Case Filing System**  
**District of Utah (Central)**  
**CIVIL DOCKET FOR CASE #: 2:19-cv-00839-HCN-DBP**

Wilson-Davis & Co. v. US Securities and Exchange  
Commission  
Assigned to: Judge Howard C. Nielson, Jr  
Referred to: Magistrate Judge Dustin B. Pead  
Cause: 05:0552 Freedom of Information Act

Date Filed: 10/29/2019  
Jury Demand: None  
Nature of Suit: 895 Freedom of  
Information Act  
Jurisdiction: U.S. Government Defendant

**Plaintiff**

**Wilson-Davis & Co.**  
*a Utah corporation*

represented by **Richard F. Ensor**  
MICHAEL BEST & FRIEDRICH LLP  
2750 E COTTONWOOD PKWY STE 560  
COTTONWOOD HEIGHTS, UT 84121  
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**LEAD ATTORNEY**  
**ATTORNEY TO BE NOTICED**

**Anne Taylor Freeland**  
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**ATTORNEY TO BE NOTICED**

V.

**Defendant**

**US Securities and Exchange  
Commission**  
*a Government Agency*

represented by **Mark Robert Tallarico**  
SECURITIES & EXCHANGE  
COMMISSION  
100 F ST NE  
WASHINGTON, DC 20549  
(202)551-5132  
Email: [tallaricom@sec.gov](mailto:tallaricom@sec.gov)  
**LEAD ATTORNEY**  
**ATTORNEY TO BE NOTICED**

Date Filed	#	Docket Text
10/29/2019	<u>1</u>	Case has been indexed and assigned to Judge Howard C. Nielson, Jr.. Plaintiff Wilson-Davis & Co. is directed to E-File the <u>Complaint and cover sheet</u> (found under Complaints and Other Initiating Documents) and pay the filing fee of \$ 400.00 by the end of the business day. NOTE: The court will not have jurisdiction until the opening document is electronically filed and the filing fee paid in the CM/ECF system. Civil Summons may be issued electronically. Prepare the summons using the courts <u>PDF version</u> and email it to <a href="mailto:utdecf_clerk@utd.uscourts.gov">utdecf_clerk@utd.uscourts.gov</a> for issuance. (nl) (Entered: 10/29/2019)
10/29/2019	<u>2</u>	COMPLAINT for Declaratory and Injunctive Relief against US Securities and Exchange Commission (Filing fee \$ 400, receipt number 1088-3406271) filed by Wilson-Davis & Co.. (Attachments: # <u>1</u> Civil Cover Sheet Civil Cover Sheet, # <u>2</u> Exhibit Exhibit 1, # <u>3</u> Exhibit Exhibit 2, # <u>4</u> Exhibit Exhibit 3, # <u>5</u> Exhibit Exhibit 4, # <u>6</u> Exhibit Exhibit 5, # <u>7</u> Exhibit Exhibit 6, # <u>8</u> Exhibit Exhibit 7, # <u>9</u> Exhibit Exhibit 8, # <u>10</u> Exhibit Exhibit 9, # <u>11</u> Exhibit Exhibit 10, # <u>12</u> Exhibit Exhibit 11, # <u>13</u> Exhibit Exhibit 12, # <u>14</u> Exhibit Exhibit 13, # <u>15</u> Exhibit Exhibit 14) Assigned to Judge

		Howard C. Nielson, Jr (Ensor, Richard) (Entered: 10/29/2019)
10/30/2019	<u>3</u>	<b>ORDER REFERRING CASE to Magistrate Judge Dustin B. Pead under 28:636 (b)(1)(A), Magistrate to hear and determine all nondispositive pretrial matters. No attached document. Signed by Magistrate Judge Dustin B. Pead on 10/30/2019. (las)</b> (Entered: 10/30/2019)
10/30/2019	<u>4</u>	<b>**RESTRICTED DOCUMENT**</b> Summons Issued Electronically as to US Attorney's Office District of Utah. Instructions to Counsel: 1. Click on the document number. 2. If you are prompted for an ECF login, enter your 'Attorney' login to CM/ECF. 3. Print the issued summons for service. (nl) (Entered: 10/30/2019)
10/31/2019	<u>5</u>	<b>**RESTRICTED DOCUMENT**</b> Summons Issued Electronically as to US Securities and Exchange Commission. Instructions to Counsel: 1. Click on the document number. 2. If you are prompted for an ECF login, enter your 'Attorney' login to CM/ECF. 3. Print the issued summons for service. (nl) (Entered: 10/31/2019)
11/01/2019	<u>6</u>	<b>ORDER TO PROPOSE SCHEDULE – Plaintiff must propose a schedule to defendant in the form of a draft Attorney Planning Meeting Report within the earlier of fourteen(14) days after any defendant has appeared or twenty–eight (28) days after any defendant has been served with the complaint. See order for additional instructions. Signed by Magistrate Judge Dustin B. Pead on 11/1/2019. (las)</b> (Entered: 11/01/2019)
11/06/2019	<u>7</u>	<b>**RESTRICTED DOCUMENT**</b> SUMMONS Returned Executed by Wilson–Davis & Co.. US Securities and Exchange Commission served on 11/4/2019, answer due 1/3/2020. (Ensor, Richard) (Entered: 11/06/2019)
11/08/2019	<u>8</u>	NOTICE of Appearance by Mark Robert Tallarico on behalf of US Securities and Exchange Commission (Tallarico, Mark) (Entered: 11/08/2019)
11/15/2019	<u>9</u>	CERTIFICATE OF SERVICE by Wilson–Davis & Co. <i>Summons and Complaint</i> (Attachments: # <u>1</u> Exhibit Exhibit A, # <u>2</u> Exhibit Exhibit B, # <u>3</u> Exhibit Exhibit C)(Ensor, Richard) (Entered: 11/15/2019)
12/03/2019	<u>10</u>	<i>Defendant's</i> ANSWER to Complaint filed by US Securities and Exchange Commission.(Tallarico, Mark) (Entered: 12/03/2019)